

DECLARATION  
FOR UTILITY PATENT APPLICATION

As a below named inventor, I, Robert Winston, hereby declare that:

My residence address is 11 Denman Drive, London NW11 6RE, United Kingdom and I am a citizen of the United Kingdom.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a utility patent application was filed on November 13, 1998, Serial No. 09/191,920 entitled:

TRANSFECTION, STORAGE AND TRANSFER OF MALE GERM CELLS FOR GENERATION OF TRANSGENIC SPECIES & GENETIC THERAPIES

the specification of which (check one)

☐ is attached hereto

☒ a provisional application was filed on November 14, 1997, Serial No. 60/065,825.

☒ a utility patent application was filed on November 13, 1998, Serial No. 09/191,920.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above.

I acknowledge the duty to disclose to the Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Sec. 1.56.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under

Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of joint inventor Robert Winston

Inventor's signature Robert Winston

Date 30/12/98 30th December 1998.

Residence 11 Denman Drive, London NW11 6RE, United Kingdom

Citizenship British

Post Office Address Same as above

100083365-111234

DECLARATION  
FOR UTILITY PATENT APPLICATION

As a below named inventor, I, Carol W. Readhead, hereby declare that:

My residence address is 2185 San Pascual Street, Pasadena, California 91107, and I am a citizen of the United States of America.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a utility patent application was filed on November 13, 1998 entitled:

TRANSFECTION, STORAGE AND TRANSFER OF MALE GERM CELLS FOR  
GENERATION OF TRANSGENIC SPECIES & GENETIC THERAPIES

the specification of which (check one)

☐ is attached hereto

☒ a provisional application was filed on November 14, 1997, Serial No. 60/065,825

☒ a utility patent application was filed on November 13, 1998, Serial No. 09/191,920.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above.

I acknowledge the duty to disclose to the Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Sec. 1.56.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under

Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of joint inventor Carol W. Readhead

Inventor's signature Carol W. Readhead

Date 1/5/98

Residence 2185 San Pasqual Street, Pasadena, CA 91107  
ce

Citizenship U.S.A.

Post Office Address Same as above

1003333-11204

DECLARATION

FOR UTILITY PATENT APPLICATION

As a below named inventor I, Outi Hovatta, hereby declare that:

My residence address is Iirislahdenportti 11, FIN-02230 Espoo, Finland and I am a citizen of Finland.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a utility patent applied was filed on November 13, 1998 entitled:

TRANSFECTION, STORAGE AND TRANSFER OF MALE GERM CELLS FOR GENERATION OF TRANSGENIC SPECIES & GENETIC THERAPIES

the specification of which (check one)

☐ is attached hereto

☒ a provisional application was filed on November 14, 1997, Serial No. 60/065,825

☒ a utility patent application was filed on November 13, 1998, Serial No. 09/191,920.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment(s) referred to above.

I acknowledge the duty to disclose to the Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Sec. 1.56.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Carol W. Readhead, Robert Winston, and Outi Hovatta  
Serial No.: Unassigned  
Filed on: Herewith

Title: TRANSFECTION, STORAGE AND TRANSFER OF MALE GERM CELLS FOR  
GENERATION OF TRANSGENIC SPECIES & GENETIC THERAPIES

STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) and 1.27(b))—INDEPENDENT INVENTOR

As a below named inventor, I hereby state that I qualify as an independent inventor, as defined in 37 CFR 1.9(c), for purposes of paying reduced fees to the United States Patent and Trademark Office under Sections 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office, with regard to the invention described in the specification filed herewith, with title as listed above.


I have not assigned, granted, conveyed or licensed, and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c), if that person had made the invention, or to any concern that would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

No person, concern or organization exists to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention.

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

OUTI HOVATTA

  
\_\_\_\_\_  
Signature of Inventor

Date 3/12/1998





**10** The first two columns are the same as in the previous example.

SIGNATURE

S:\AWE\CEDAR\41794SE.GEE



**RESEARCH**

SIGNATURE

Date \_\_\_\_\_

S:\AWE\CEDAR\41794SE.CDR

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Carol W. Readhead et al. : Art Unit:  
Serial No.: Unassigned : Examiner: Unassigned  
Filed: Herewith :  
For: TRANSFECTION, STORAGE AND TRANSFER OF MALE GERM  
CELLS FOR GENERATION OF TRANSGENIC SPECIES & GENETIC  
THERAPIES

**POWER OF ATTORNEY BY ASSIGNEE UNDER RULE 32**

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

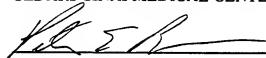
The undersigned assignee of the entire interest in the above-identified patent application hereby appoints the following attorneys and/or agents, Laurence H. Pretty, Esq., 25,312; Robert A. Schroeder, Esq., 25,393; Edward G. Poplawski, Esq., Reg. No. 33,439; Jeffrey F. Craft, Esq., Reg. No. 30,044; Michael J. MacDermott, Esq., Reg. No. 29,946; Anne Wang, Esq., Reg. No. 36,045; Richard A. Wallen, Esq., Reg. No. 22,671; Paul D. Tripodi, Esq., Reg. No. 40,847; J. Christopher James, Esq., Reg. No. 40,660; Marc E. Hankin, Esq., Reg. No. 38,908; Donald C. Kordich, Esq. Reg. No. 38,213; Nisan A. Steinberg, Reg. No. 40,345; and Viviana Amzel, Esq., Reg. No. 30,930, to prosecute and transact all business in the US Patent and Trademark Office relating to this application, this appointment to be to the exclusion of the inventors and their attorney(s) in accordance with the provisions of Rule 32 of the Patent Office Rules of Practice.

Please send all future correspondence, and direct all telephone calls to:

Nisan A. Steinberg, Ph.D.  
or Edward G. Poplawski, Esq.  
PRETTY, SCHROEDER & POPLAWSKI  
444 South Flower Street- 19th Floor  
Los Angeles, CA 90071  
Ph. (213) 622-7700 Fax (213) 489-4210

Assignee: CEDARS-SINAI MEDICAL CENTER

Signature:



Date:

11/9/95

Name:

Peter Braveman

Title:

Senior Vice President For Legal Affairs and General Counsel

S:\AWE\CEDAR\R32B.POA

10003365-111201

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Carol W. Readhead et al. : Art Unit:  
Serial No.: 60/065,825 : Examiner:  
Filed: November 14, 1997 :  
For: TRANSFECTION, STORAGE AND TRANSFER OF MALE GERM  
CELLS FOR GENERATION OF TRANSGENIC SPECIES & GENETIC  
THERAPIES

POWER OF ATTORNEY BY ASSIGNEE UNDER RULE 32

Assistant Commissioner for Patents  
Washington, DC 20231

Sir:

The undersigned assignee of the entire interest in the above-identified patent application hereby appoints the following attorneys and/or agents, Laurence H. Pretty, Esq., 25,312; Robert A. Schroeder, Esq., 25,393; Edward G. Poplawski, Esq., Reg. No. 33,439; Jeffrey F. Craft, Esq., Reg. No. 30,044; Michael J. MacDermott, Esq., Reg. No. 29,946; Anne Wang, Esq., Reg. No. 36,045; Richard A. Wallen, Esq., Reg. No. 22,671; Paul D. Tripodi, Esq., Reg. No. 40,847; J. Christopher James, Esq., Reg. No. 40,660; Marc E. Hankin, Esq., Reg. No. 38,908; Donald C. Kordich, Esq. Reg. No. 38,213; Viviana Amzel, Esq., Reg. No. 30,930; and Nisan A. Steinberg, Reg. No. 40,345, to prosecute and transact all business in the US Patent and Trademark Office relating to this application, this appointment to be to the exclusion of the inventors and their attorney(s) in accordance with the provisions of Rule 32 of the Patent Office Rules of Practice.

Please send all future correspondence, and direct all telephone calls to:

Nisan A. Steinberg, Ph.D.  
or Edward G. Poplawski, Esq.  
PRETTY, SCHROEDER & POPLAWSKI  
444 South Flower Street- 19th Floor  
Los Angeles, CA 90071  
Ph. (213) 622-7700 Fax (213) 489-4210

Assignee: IMPERIAL COLLEGE OF SCIENCE, TECHNOLOGY AND  
MEDICINE

Signature: 

Date: 11/3/98

Name: Dr. Jonathan Gee

Title: Head of Technology Development

S:\A\WE\CEDAR\R32GEE.POA

application, to Assignee, its successors and assigns, as the assignee of the entire interest in the invention.

Assignor further authorizes and requests insertion below of the serial number and filing date of the application, when officially known:

Serial No. 09/19,1920 Filing Date Nov. 13, 1998  
IN WITNESS WHEREOF, Assignor has executed this

Assignment.

Assignor

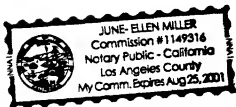
Date: 1/8/98

Carol W. Readhead  
Carol W. Readhead

State of California )  
County of Los Angeles ) ss.

1998 On this 8th day of January, in the year of  
~~1997~~, before me personally appeared CAROL W. READHEAD,  
personally known to me or proved to me on the basis of  
satisfactory evidence to be the person whose name is subscribed  
to this instrument, and acknowledged to me that he executed it.

IN WITNESS WHEREOF, I have hereunto set my hand and  
affixed my official seal the day and year of this certificate  
first above written.



June-Ellen Miller  
Notary Public in and for Said  
County and State

A S S I G N M E N T

WHEREAS, Robert Winston, of London, United Kingdom, Assignor, has invented a new and useful **TRANSFECTION, STORAGE AND TRANSFER OF MALE GERM CELLS FOR GENERATION OF TRANSGENIC SPECIES & GENETIC THERAPIES**, for which an application for United States Letters Patent was executed by him on or about the same date as this Assignment; and

WHEREAS, Assignor believes himself to be the original, first and joint inventor along with Carol W. Readhead of Pasadena, California, and Outi Hovatta of FIN-02230 Espoo, Finland of the invention disclosed and claimed in the application for Letters Patent; and

WHEREAS, Imperial College of Science, Technology and Medicine, having a place of business at Exhibition Rd., South Kensington, London, United Kingdom, Assignee, desires to acquire by formal, recordable assignment the entire right, title and interest in and to the invention, the application, and any Letters Patent that might be granted for the invention in the United States and throughout the world;

NOW, THEREFORE, in consideration of the sum of Ten Dollars (\$10.00) and of other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignor hereby sells, assigns and transfers to Assignee, the entire right, title and interest in and to the invention, the application, and any Letters Patent that might be granted for the invention in the United States and throughout the world, including the right to file foreign applications directly in the name of Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties or otherwise.

Further, Assignor agrees that, upon request and without further compensation, but at no expense to Assignor, he and his legal representatives and assigns will perform all lawful acts, including the execution of papers and the giving of testimony, that might be necessary or desirable for obtaining, sustaining, reissuing or enforcing Letters Patent in the United States and throughout the world for the invention, and for perfecting, recording or maintaining the title of Assignee, its successors and assigns, to the invention, the application, and any Letters Patent granted for the invention in the United States and throughout the world.

Assignor represents and warrants that he has not granted and will not grant to others any rights inconsistent with the rights granted by this Assignment.

Assignor authorizes and requests the Commissioner of Patents and Trademarks of the United States and of all foreign countries to issue any Letters Patent granted for the invention, whether on the application or on any subsequently filed division, continuation, continuation-in-part or reissue

10066385.11201

application, to Assignee, its successors and assigns, as the assignee of the entire interest in the invention.

Assignor further authorizes and requests insertion below of the serial number and filing date of the application, when officially known:

Serial No. 09/191,920 Filing Date Nov 13, 1998

IN WITNESS WHEREOF, Assignor has executed this Assignment.

Assignor

Date: 23<sup>rd</sup> January 1998

Robert Winston

Robert Winston

Country

State of

County of England ) ss.  
Greater London

On this 23<sup>rd</sup> day of January, in the year of 1998, before me personally appeared Robert Winston, personally known to me or proved to me on the basis of satisfactory evidence to be the person whose name is subscribed to this instrument, and acknowledged to me that he executed it.

IN WITNESS WHEREOF, I have hereunto set my hand and affixed my official seal the day and year of this certificate first above written.

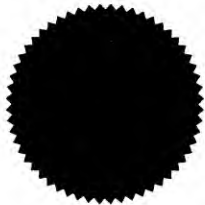
Susan Davis

Notary Public in and for Said  
Country and State

1080.

jhh/VA/CEDAR/37406/asn.001

MY Commission EXPIRES  
AT DEATH.





## A S S I G N M E N T

WHEREAS, Carol W. Readhead, of Pasadena, California, Assignor, has invented a new and useful TRANSFECTION, STORAGE AND TRANSFER OF MALE GERM CELLS FOR GENERATION OF TRANSGENIC SPECIES & GENETIC THERAPIES, for which an application for United States Letters Patent was executed by her on or about the same date as this Assignment; and

WHEREAS, Assignor believes herself to be the original, first and joint inventor along with Robert Winston of London, United Kingdom and Outi Hovatta of FIN-02230 Espoo, Finland, of the invention disclosed and claimed in the application for Letters Patent; and

WHEREAS, Cedars-Sinai Medical Center, a non-profit, public benefit corporation, having a place of business at 8700 Beverly Boulevard, Los Angeles, California 90048, Assignee, desires to acquire by formal, recordable assignment the entire right, title and interest in and to the invention, the application, and any Letters Patent that might be granted for the invention in the United States and throughout the world;

NOW, THEREFORE, in consideration of the sum of Ten Dollars (\$10.00) and of other good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, Assignor hereby sells, assigns and transfers to Assignee, the entire right, title and interest in and to the invention, the application, and any Letters Patent that might be granted for the invention in the United States and throughout the world, including the right to file foreign applications directly in the name of Assignee and to claim for any such foreign applications any priority rights to which such applications are entitled under international conventions, treaties or otherwise.

Further, Assignor agrees that, upon request and without further compensation, but at no expense to Assignor, she and her legal representatives and assigns will perform all lawful acts, including the execution of papers and the giving of testimony, that might be necessary or desirable for obtaining, sustaining, reissuing or enforcing Letters Patent in the United States and throughout the world for the invention, and for perfecting, recording or maintaining the title of Assignee, its successors and assigns, to the invention, the application, and any Letters Patent granted for the invention in the United States and throughout the world.

Assignor represents and warrants that she has not granted and will not grant to others any rights inconsistent with the rights granted by this Assignment.

Assignor authorizes and requests the Commissioner of Patents and Trademarks of the United States and of all foreign countries to issue any Letters Patent granted for the invention, whether on the application or on any subsequently filed division, continuation, continuation-in-part or reissue

10006336-11201

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE  
REVOCATION OF PRIOR POWERS AND NEW POWER OF ATTORNEY**

Assistant Commissioner for  
Patents  
Washington, DC 20231

<b>CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8</b>	
I hereby certify that this document is being deposited on this date with the U.S. Postal Service at first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231.	
<i>John R. Williams</i>	Date: <u>5-2-01</u>

Honorable Sir:

Cedars-Sinai Medical Center, having a place of business at 8700 Beverly Boulevard, Suite 2112, Los Angeles, California 90048-1888, and being the owner of the entire right, title and interest in the patent applications identified on the attached list, hereby revokes all previously given powers of attorney for the applications listed on attached sheet, and hereby appoints the following:

<u>Attorney</u>	<u>Registration No.</u>
Edward G. Poplawski	33,438
Denise L. McKenzie	43,790
Nisan A. Steinberg, Ph.D.	40,348

all of whom are members in good standing of a state bar, and are members of the law firm of Sidley Austin Brown & Wood, 558 West Fifth Street, Los Angeles, California 90013-1010 at (213) 888-8000, its representatives with full power of substitution and revocation, to transact all business in the United States Patent and Trademark Office connected therewith.

Effective immediately, please change the correspondence address related to the identified patent applications on the attached sheet:

from: Pretty, Schroeder, et al. 444 South Flower Street Los Angeles, California 90071	to: Edward G. Poplawski, Esq. Sidley Austin Brown & Wood 558 West Fifth Street Los Angeles, California 90013-1010
---	--

and direct all future correspondence to the above address; and refer all telephone communications to Edward G. Poplawski at (213) 888-8801.

**CEDARS-SINAI MEDICAL CENTER**

Dated: May 2, 2001

By: *Peter E. Braverman*

Peter E. Braverman  
Senior Vice President for Legal Affairs and General  
Counsel

## CEDARS-SINAI MEDICAL CENTER

Application No.	Filing Date
09/299,817	4/26/1999
09/294,737	4/19/1999
09/145,586	9/2/1998
09/500,158	2/8/2000
09/168,349	10/7/1998
09/488,491	1/20/2000
09/545,428	4/7/2000
09/399,212	9/17/1999
09/280,181	3/29/1999
09/347,114	7/2/1999
08/566,313	12/1/1995
09/226,068	1/6/1999
09/191,920	11/13/1998
09/272,443	3/19/1999
09/311,599	5/13/1999
09/570,357	5/12/2000
09/292,723	4/15/1999
09/409,616	9/30/1999
09/307,230	5/7/1999
09/353,004	7/13/1999
09/605,176	6/28/2000
09/581,456	6/12/2000

10003385.11201

10006325 111201

Application No.	Filing Date
09/491,500	1/26/2000
09/615,854	7/14/2000
09/488,191	1/20/2000
09/374,143	8/11/1999
09/374,142	8/11/1999
09/122,876	7/27/1998
09/481,084	1/11/2000
08/894,251	7/23/1999
09/569,956	5/12/2000
09/687,911	10/13/2000
09/730,469	12/4/2000
09/327,138	6/7/1999
09/513,059	2/24/2000
09/530,611	4/28/2000
09/235,710	1/22/1999
09/546,119	4/10/2000
09/420,046	10/18/1999

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Readhead et al.  
 Serial No. 09/191,920  
 Filed: November 13, 1998  
 For: Transfection, Storage and Transfer of Male Germ Cells for  
 Generation of Transgenic Species & Genetic Therapies  
 Examiner: Clark, D.  
 Unit: 1633

**NOTICE OF CHANGE OF ADDRESS**

Assistant Commissioner for Patents  
 Washington, D. C. 20231

I HEREBY CERTIFY THAT THIS CORRESPONDENCE IS BEING DEPOSITED WITH THE UNITED STATES POSTAL SERVICE AS FIRST CLASS MAIL IN AN ENVELOPE ADDRESSED TO THE ASSISTANT COMMISSIONER FOR PATENTS	
WASHINGTON D C 20231, ON	November 14, 2000
DATE	
BY	ANN WILES
	November 14, 2000
	(DATE OF SIGNATURE)

Dear Sir:

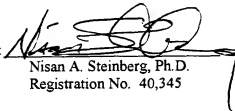
Please take notice that, effective immediately, Applicants' attorney of record has changed his address and telephone number. Please send all correspondence regarding the above-referenced application to:

Edward G. Poplawski, Esq.  
 Registration No. 33,439  
 Sidley & Austin  
 A Partnership including Professional Corporation  
 555 West Fifth Street  
 Los Angeles, CA 90013-1010

Please refer all calls to Nisan A. Steinberg, Ph.D., Registration No. 40,345 at 213/896-6665.

Respectfully submitted,

**SIDLEY & AUSTIN**

By:   
 Nisan A. Steinberg, Ph.D.  
 Registration No. 40,345

555 West Fifth Street  
 Los Angeles, California 90013-1010  
 Ofc: 213/ 896-6665  
 Fax: 213/896-6600

10008265 111201